

Required Periodic Privacy Act Program Review
'Self-Assessment'

- I. What is the name of Your Privacy Act System (**system**)?
- II. Who is the **system** manager (name, title, position, email, phone #)
- III. Has the system manager done an on-site inspection to ensure that the following safeguards are in place for Privacy Act records:

- There are locked rooms and/or cabinets for paper records (check one).

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

- Electronic systems are password-protected (check one).

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

- Warning labels/notices/or stickers are posted on file cabinets containing Privacy Act material (check one).

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

- There are appropriate warning notices for electronic Privacy Act systems - at the point of access (check one).

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

- Records are maintained on requests to access individual Privacy Act records (check one).

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

- Records are maintained on requests by and individual to amend his/her Privacy Act record (check one).

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

- Records are maintained on disclosure of an individual Privacy Act record (check one).

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

IV. *Approximately*, how many employees work with this **system** or have access to it?

V. Have they taken the training at the bureau's Privacy Act website (<http://www.fws.gov/pdm/privacy.html>)?

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain or indicate other training taken):

VI. Do any contractors work with your **system**?

YES___ NO___

VII. If your **system is (a) operated by contractors, (b) has been designed by contractors, or (c) involves contracts where personal privacy information is kept:**

- **Do you have appropriate Privacy Act clauses inserted into the contract?**

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

- **Have you advised contractors of their responsibilities under the Privacy Act for the records they maintain or update?**

YES___ NO___ N/A___

(If 'no' or 'n/a' please explain.):

- **Have you advised contractors of their responsibilities related to **system** administration – if they are administering the system?**

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

VIII. Has a random sample of contracts been reviewed for any **systems that are maintained or administered by contractors in order to ensure that there is wording within the contract makes the provisions of the Privacy Act known to (and binding on) the contractors?**

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

- IX.** Does everyone who works with the **system** have a copy of the Privacy Act 'system notice' (Federal Register Notice) that is associated with your Privacy Act system? See (<http://www.fws.gov/pdm/privacy.html>) for a copy of your notice.

YES___ NO___

(If 'no', please explain.):

- X.** Is yours a new **system** as of the current fiscal year?

YES___ NO___

- XI.** Has your **system** been altered/modified in this fiscal year?

YES___ NO___

- XII.** If your **system** was changed in the current fiscal year, what changes did you make?

- XIII.** During the current fiscal year did you add/are you collecting records on a new category of individuals not previously included in the **system**? If so, who/what category of individual did you add?

YES___ NO___

(If 'yes', please explain.):

- XIV.** During the current fiscal year, did you expand the number of 'routine uses' for which you use or 'routinely' release records in your **system** (For example a routine use is identified in your system notice as to whom and in what situations you normally release records on individuals). The section is identified as 'Routine Uses'. If so, what additional routine uses did you add?

YES___ NO___

(If 'yes', please explain.):

XV. During the current fiscal year, did you add any fields of information to those your system already collects or stores? If so, what are they?

YES___ NO___

(If 'yes', please explain.):

XVI. During the current fiscal year, did you alter the purpose for which your **system collects information? In other words, are you collecting information for an additional or different reason than what it was originally established for? If so, what is the new purpose?**

YES___ NO___

(If 'yes', please explain.):

XVII. Are the routine uses that you currently have for your system (see your Federal Register notice) still what you need for that system or are there routine uses that should be added or deleted?

YES___ NO___ (need other routine uses)

(If 'no', please explain.):

XVIII. Some **systems are exempt from parts of the Privacy Act (hint: if yours is exempt, it will be identified as such at the end of the system notice). Did you add or increase any exemptions to your **system** during this fiscal year?**

YES___ NO___ N/A___

(If 'yes' or 'n/a', please explain.):

XIX. Are the current exemptions identified for your **system (if you have any) still needed?**

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

XX. Did you change the format of your **system? (i.e., from paper to electronic, or, if it is electronic, has the **system** been modified to accept other modules or configurations that might affect the security or access of the Privacy Act records?**

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

XXI. If your **system is new or was substantially altered (*means you added a 'category' of individuals, added a field of information, changed the 'routine uses', changed the purpose for which you collect the information, or changed the exemptions for the system*) within the current fiscal year, have you completed a Privacy Impact Assessment (PIA) for it?**

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

XXII. When two or more electronic Privacy Act systems (systems**) share personal information this is called 'computer matching' (Example: matching information in order to find 'deadbeat dads'). Has your **system** been involved in any computer matching activities during the current fiscal year?**

YES___ NO___ N/A___

(If 'yes' or 'n/a', please explain.):

XXIII. Are you aware of any Privacy Act violation (inappropriate release of info, inappropriate use of info, inappropriate access to info, inadequate security for the system, unapproved modification to the system) within the current fiscal year related to the system you keep?

YES___ NO___ N/A___

(If 'yes' or 'n/a' – please explain.):

XXIV. What was the nature of that/those violations? (please explain in moderate detail – do not use names or other identifying info. Use 'n/a' if you are not aware of any violation.)

XXV. Have they been corrected?

YES___ NO___ N/A___

(Please explain in moderate detail if 'yes' or 'no' – but do not use personally identifying information. Use 'n/a' if you are not aware of any violation.)

XXVI. Are you aware of the recordkeeping requirements for your **system?**

YES___ NO___ N/A___

(If 'no' or 'n/a', please explain.):

Signature of System Owner/Manager: _____

Date: _____

THANK YOU! THIS COMPLETES THE SELF-CERTIFICATION FOR YOUR SYSTEM. PLEASE FAX TO: Johnny Hunt, Privacy Act Officer (703/358-2269) OR SCAN (IN PDF, SIGNED COPY) AND SEND TO: Johnny_Hunt@fws.gov

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